

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 2-2005)TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

LEE-0036

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

NYA **10/552529**

INTERNATIONAL APPLICATION NO.

PCT/KR2004/000786

INTERNATIONAL FILING DATE

4-6-2004

PRIORITY DATE CLAIMED

4-9-2003

## TITLE OF INVENTION

CATHODE ACTIVE MATERIAL COMPRISING ADDITIVE FOR IMPROVING OVERDISCHARGE-PERFORMANCE AND  
LITHIUM SECONDARY BATTERY USING THE SAME

## APPLICANT(S) FOR DO/EO/US

Jae Hyun LEE, Min Chul JANG, Duk Hyun RYU, Jun Yong JEONG, Han Ho LEE and Soon Ho AHN


Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV643737457US**
23. ☒ Other items or information:  
PCT Request  
Claim for Priority

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
<b>10/552529</b>		<b>PCT/KR2004/000786</b>		<b>LEE-0036</b>	
The following fees are submitted:				<b>CALCULATIONS</b>	<b>PTO USE</b>
24. <input checked="" type="checkbox"/> Basic national fee .....				\$300	\$ \$300.00
25. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4). ....				\$100	\$ \$200.00
All other situations. ....				\$200	
26. <input checked="" type="checkbox"/> Search fee .....					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority .....				\$100	
International Search Report prepared and provided to the Office .....				\$400	
All other situations. ....				\$500	\$ \$500.00
<b>TOTAL OF 24, 25 and 26 =</b>				<b>\$</b>	<b>\$1,000.00</b>
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)		RATE	
26	- 100 =	0	/50 =	0	x \$250.00
				\$	\$0.00
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA		RATE	
Total claims	10	- 20 =	0	x \$50.00	\$ \$0.00
Independent claims	2	- 3 =	0	x \$200.00	\$ \$0.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00				\$	\$0.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$</b>	<b>\$1,000.00</b>
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$0.00
<b>SUBTOTAL =</b>				<b>\$</b>	<b>\$1,000.00</b>
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00
<b>TOTAL NATIONAL FEE =</b>				<b>\$</b>	<b>\$1,000.00</b>
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00
<b>TOTAL FEES ENCLOSED =</b>				<b>\$</b>	<b>\$1,000.00</b>
				Amount to be	\$
				Amount to be	\$
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>06-1130</u> in the amount of <u>\$1,000.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>06-1130</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
Soonja Bae Limited Recognition No. L0017 Cantor Colburn LLP 55 Griffin Road South Bloomfield, CT 06002 Date: October 11, 2005					
				SIGNATURE	
				Soonja Bae	
				NAME	
				L0017	
				REGISTRATION NUMBER	

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>			Docket No. <b>10/552529</b>	
Applicant(s): Jae Hyun LEE, et al.				
Application No. NYA	Filing Date 10-11-2005	Examiner NYA	Customer No. 23413	Group Art Unit NYA
Invention: <b>CATHODE ACTIVE MATERIAL COMPRISING ADDITIVE FOR IMPROVING OVERDISCHARGE-PERFORMANCE AND LITHIUM SECONDARY BATTERY USING THE SAME</b>				
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> Transmittal Ltr. to the U.S. Designated/Elected Office (DO/EO/US) Concerning a Submission Under 35 U.S.C. 371, PCT Appln., Five Sheets of Drwgs., Prelim. Amend., Dec/POA, Recordation Form Cover Sheet, Assmt, PCT Request, Claim for Priority, IDS, Form PTO-1449 w/Eight cited refs., Authorization to debit and/or credit Dep. Acct. No. 06-1130 - \$1,000.00 - Filing Fee - \$40.00 - Recordation Fee and Postcard  <i>(Identify type of correspondence)</i> </div> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <div style="margin-top: 20px;"> <p style="text-align: center;">October 11, 2005 <i>(Date)</i></p> <div style="margin-top: 40px;"> <p style="text-align: center;">Tammie Lanthier <i>(Typed or Printed Name of Person Mailing Correspondence)</i></p> <div style="text-align: center; margin-top: 10px;">   <i>(Signature of Person Mailing Correspondence)</i> </div> <p style="text-align: center; margin-top: 10px;">EV643737457US <i>("Express Mail" Mailing Label Number)</i></p> </div> </div>				
<p><b>Note: Each paper must have its own certificate of mailing.</b></p>				